

CHANGES APRIL 1, 2011 THROUGH SEPTEMBER 30, 2011

TITLE 17—COMMODITY AND SECURITIES EXCHANGES**Chapter I—Commodity Futures Trading Commission (Parts 1—199)**

Chapter I Order.....	20835, 42508
Authority citation revised.....	41056
1 Authority citation revised.....	44264
1.3 (zz) added.....	41056
1.49 (d)(3) revised	44264
4 Authority citation revised.....	44264
4.12 (b)(3) through (6) redesignated as (d)(1) through (4); (b) heading, (1) introductory text, new (d)(1) introductory text, (iii)(A), (B), (iv) and (2)(ii) revised; (b)(2) amended; (c) added	28644
4.13 (a)(3)(iv) and (4)(ii)(B) amended; (a)(5) redesignated as (a)(6); new (a)(6)(i) introductory text, (b)(1)(ii) and (2) revised; new (a)(5) added	28645
4.24 (h)(1)(i) revised	44264
5 Authority citation revised.....	56106
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5.11 (a)(1) introductory text, (2) introductory text and (d)(2) amended	56107
5.18 (a)(1)(ii) amended.....	56107
15 Authority citation revised	43862
15.00 Heading and introductory text revised	43862
20 Added	43862
30.13 Added	59245
30 Appendix D revised.....	59247
35 Revised.....	49299
39 Authority citation revised	44473
39.5 Redesignated as 39.8; new 39.5 added	44473
39.8 Redesignated from 39.5	44473
40 Revised.....	44790
40.6 (a) corrected	45666
49 Added	54575
140.94 (a)(5) revised; (a)(6) added	44474
160 Heading and authority citation revised	43878
160.1 (b) revised.....	43878

160.3 (a) through (v), (w) and (x) redesignated as (t) through (w), (y) and (z); new (s), (x), (y)(6) and (7) added; (a), (n)(1)(i), (ii), (o)(1)(i) and new (y)(4) and (5) revised	43878
160.15 (a)(4) revised	43879
160.17 (b) revised	43879
160.30 Revised	43879
162 Added	43884
165 Added	53200
180 Added	41410

Chapter II—Securities and Exchange Commission (Parts 200—399)

200 Authority citation amended	57637
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200.17 Introductory text amended	60371
200.20c Removed	60372
200.21 (a) amended	60371, 60372
200.24 Amended	60372
200.25 Removed	60372
200.30-3 (a)(80) amended	60371
200.30-4 (a)(14) revised.....	35349
(a)(16) added	39770
200.30-13 Amended	60372
200.30-15 Heading and text amended	60371
200.82a Regulation at 75 FR 56780 eff. date confirmed	58100
200.312 (a)(5) and (6) amended; (a)(7), (8) and (9) added; (b) revised; authority citation removed.....	57637
200.500—200.511 (Subpart J) Authority citation revised.....	60372
200.503 Introductory text and (a) amended	60371
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200.504 Introductory text amended	60371
200.505 (c) amended	60371
200.508 (a) amended	60371
200.510 (a) amended	60371
200.511 (a) amended	60371
200.800 (b) amended; eff. 12-31-12	46616
201 Authority citation revised.....	60372
201.59 Amended	60372
202.3a (e) amended	28890
204.32 Amended	60372
204.34 (d) amended	60372

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TITLE 17 Chapter II—Con.

210 Heading revised	50119	239.13 Undesignated text heading following (b)(1), (b)(2) and (5) revised.....	46617
210.1–02 (u) amended	50119	Form S–3 amended	46618
210.4–01 (a)(3)(i) introductory text and (ii) amended	50119	239.15A Form N–1A amended	50123
210.4–08 (h)(3) and Instructions amended	50119	239.17a Form N–3 amended.....	50123
210.4–10 (b) amended	50119	239.17b Form N–4 amended.....	50123
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229.10 (c) introductory text and (1)(i) amended; eff. 12–31–12	46617	239.25 Form S–4 amended	46619, 50121
229.101 Instructions amended.....	50120	239.33 (b)(2) revised; Form F–3 amended	46619
229.201 (d) Instructions amended	50120	239.34 Form F–4 amended.....	46620
229.302 (b) and Instructions amended.....	50120	239.37 (h)(3) amended; eff. 12–31–12	46620
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229.305 Instructions amended.....	50120	239.39 Removed; eff. 12–31–12	46620
229.402 (a)(6)(iii), (iv), (c)(2)(ix)(C), (d)(2)(viii), (e)(1)(iii), (k)(2)(vii)(C), (m)(5)(iv), (n)(2)(ix)(C), (r)(2)(vii)(C), (m)(5)(iii) and Instructions amended.....	50121	239.40 (c)(4) and Form F–10 amended; eff. 12–31–12	46620
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229.1204 Instructions amended	50121	240 Authority citation amended	34363, 34590, 46620
230 Authority citation revised.....	46617	Policy statement	36287, 38293
230.134 (a) introductory text and (6) revised; (a)(17) removed	46617	Authority citation revised	41685
230.138 (a)(2)(ii)(B)(2) revised	46617	240.0–12 (b) revised	43891
230.139 (a)(1)(i)(A)(1)(ii) and (B)(2)(ii) revised	46617	240.3b–6 (b)(2)(ii) amended	50122
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230.175 (b)(2)(ii) amended	50121	240.12h–1 (h)T amended	40229
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230.240 Added; interim	40611	240.12h–3 (b)(1) introductory text amended; (b) Note added	52555
230.467 Heading, (a) and (b) amended; eff. 12–31–12	46617	240.12h–6 (i) Note added	52555
230.473 (d) amended; eff. 12–31–12	46617	240.13a–11 Regulation at 75 FR 56780 eff. date confirmed.....	58100
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232.405 Preliminary Note 1, (a)(2) introductory text, (3), (4) amd section Note amended; eff. 12–31–12	46617	240.13h–1 Added.....	47002
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240.15d-22 Revised.....	52555	249.819 Form 19b-4 amended; interim	41063																																																																																																																
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240.17h-1T (a)(1)(vii) amended.....	50122	240.19b-4 (a) redesignated as (a)(1); (a)(2) added.....	20509	Added	34371	(f)(4) introductory text amended; (f)(4)(i) and (ii) redesignated as (f)(4)(i)(A) and (B); (f)(4) introductory text and new (i)(B) amended; (f)(4)(ii)(A) and (B) added; interim	41062	260.4d-11T Amended.....	40229	240.21F-1 Undesignated center heading and section added	34363	260.4d-12 Added; interim	40612	240.21F-2 Added	34363	269.7 Form ID revised	55791	240.21F-3 Added	34363	270.3a-8 (b)(9) amended	50123	240.21F-4 Added	34363	271 Policy statement	55297	240.21F-5 Added	34363	274.11A Form N-1A amended	50123	240.21F-6 Added	34363	274.11b Form N-3 amended	50123	240.21F-7 Added	34363	274.11c Form N-4 amended	50123	240.21F-8 Added	34363	274.11d Form N-6 amended	50123	240.21F-9 Added	34363	274.402 Form ID revised	55791	240.21F-10 Added	34363	275 Authority citation revised.....	39701	240.21F-11 Added	34363	240.21F-12 Added	34363	Authority citation amended	43011	240.21F-13 Added	34363	275.0-7 (a)(1) amended	43011	240.21F-14 Added	34363	275.202(a)(11)-1 Removed	43011	240.21F-15 Added	34363	275.202(a)(11)(G)-1 Added	37994	240.21F-16 Added	34363	275.202(a)(30)-1 Added	39701	240.21F-17 Added	34363	275.203-1 (e) added	43011	249 Authority citation amended	34371	275.203(b)(3)-1 Removed.....	43011	249.220f Form 20-F amended	50122	275.203(b)(3)-2 Removed.....	43011	249.240f (a) introductory text and (b)(4) introductory text amended; Note following (a) introductory text redesignated as (a) Note; eff. 12-31-12	46620	275.203(l)-1 Added	39702			275.203(m)-1 Added	39703			275.203A-1 Revised	43011			275.203A-2 (a) removed; (b) through (f) redesignated as new (a) through (e); new (d)(2), (3) and (4) redesigned as (d)(2)(i), (ii) and (3); new (d)(2) introductory text added; new (a)(1), (c)(1), (d)(1), (2)(i), (ii) revised; new (a)(2) introductory text, (e)(1)(ii), (iii), (2) and (3) amended	43012			275.203A-3 (a)(4) revised; (d) and (e) added	43012			275.203A-4 Removed	43012			275.203A-5 Added; eff. 7-21-11; (b) and (c) added; eff. 9-19-11.....	43012			275.204-1 Heading, (b), (a) and (b) Note and (c) revised.....	43013
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(f)(4) introductory text amended; (f)(4)(i) and (ii) redesignated as (f)(4)(i)(A) and (B); (f)(4) introductory text and new (i)(B) amended; (f)(4)(ii)(A) and (B) added; interim	41062	260.4d-11T Amended.....	40229																																																																																																																
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240.21F-5 Added	34363	274.11A Form N-1A amended	50123																																																																																																																
240.21F-6 Added	34363	274.11b Form N-3 amended	50123																																																																																																																
240.21F-7 Added	34363	274.11c Form N-4 amended	50123																																																																																																																
240.21F-8 Added	34363	274.11d Form N-6 amended	50123																																																																																																																
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240.21F-11 Added	34363	240.21F-12 Added	34363	Authority citation amended	43011	240.21F-13 Added	34363	275.0-7 (a)(1) amended	43011	240.21F-14 Added	34363	275.202(a)(11)-1 Removed	43011	240.21F-15 Added	34363	275.202(a)(11)(G)-1 Added	37994	240.21F-16 Added	34363	275.202(a)(30)-1 Added	39701	240.21F-17 Added	34363	275.203-1 (e) added	43011	249 Authority citation amended	34371	275.203(b)(3)-1 Removed.....	43011	249.220f Form 20-F amended	50122	275.203(b)(3)-2 Removed.....	43011	249.240f (a) introductory text and (b)(4) introductory text amended; Note following (a) introductory text redesignated as (a) Note; eff. 12-31-12	46620	275.203(l)-1 Added	39702			275.203(m)-1 Added	39703			275.203A-1 Revised	43011			275.203A-2 (a) removed; (b) through (f) redesignated as new (a) through (e); new (d)(2), (3) and (4) redesigned as (d)(2)(i), (ii) and (3); new (d)(2) introductory text added; new (a)(1), (c)(1), (d)(1), (2)(i), (ii) revised; new (a)(2) introductory text, (e)(1)(ii), (iii), (2) and (3) amended	43012			275.203A-3 (a)(4) revised; (d) and (e) added	43012			275.203A-4 Removed	43012			275.203A-5 Added; eff. 7-21-11; (b) and (c) added; eff. 9-19-11.....	43012			275.204-1 Heading, (b), (a) and (b) Note and (c) revised.....	43013																																																		
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240.21F-13 Added	34363	275.0-7 (a)(1) amended	43011																																																																																																																
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249 Authority citation amended	34371	275.203(b)(3)-1 Removed.....	43011																																																																																																																
249.220f Form 20-F amended	50122	275.203(b)(3)-2 Removed.....	43011																																																																																																																
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279.4 Form ADV-NR amended	43014	420.....	59592
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TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES**Chapter I—Federal Energy Regulatory Commission, Department of Energy (Parts 1—399)**

35.28 (c)(1) through (iii), (vi), (3), (i), (ii), (4), (i), (ii), (d)(1) and (e)(1) revised.....	49963
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TITLE 19—CUSTOMS DUTIES**Chapter I—U.S. Customs and Border Protection, Department of Homeland Security; Department of the Treasury (Parts 1—199)**

4.7 Heading, (b)(3)(i) and (4) in- troduction text revised; (a), (b)(1), (2), (4)(i), (ii), (4)(ii)(B), (C), (d)(1)(ii) and (e) amended	27608
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